

CAP-MR/DD Day Supports Endorsement Check Sheet Instructions

Introduction

Prior to site and service endorsement, business verification must take place. During the process of business verification, the provider organization submits a self study of the core rules (10A NCAC 27G .0201-.0204) verifying that they have met all the requirements therein. (The provider is not required to submit this if nationally accredited, licensed with DFS or has had a compliance review from NC Council of Community Programs within the past three years.) The documents created in adherence with the core rules should be utilized as evidence of provider compliance where noted in the check sheet and instructions.

The following set of instructions is to serve as general guidelines to facilitate the review of providers for endorsement. Service definitions, core rules (as noted above), staff definitions (10A NCAC 27G .104) and other DHHS communications (e.g. Service Records Manual, Communication Bulletins, Implementation Updates and other publications) should be used to support the reviewer's determination of compliance. In addition, the Business Entity Type Reference document (attached) assists to clarify the requirements for different business entities such as corporations, partnerships and limited liability corporations and partnerships.

Provider Requirements

In this section, the provider is reviewed to ascertain that requirements are met in order for services to be provided. The provision of services is addressed later in this endorsement process.

1. a – e Review identified documents for evidence that provider meets DMH/DD/SAS and DMA standards as related to administration responsibilities, financial oversight, clinical services and quality improvement. These standards include, but are not limited to, policies and procedures (contents of which are mandated in 10A NCAC 27G.0201 – Governing Body Policies) and the key documents required by law for the formation of the business entity (refer to attachment titled Business Entity Type).

Review documentation that demonstrates provider is a legal US business entity. Documentation should indicate the business entity is currently registered with the local municipality **or** the office of the NC Secretary of State, that the information registered with the local municipality **or** the Secretary of State is current, and that there are no dissolution, revocation or revenue suspension findings currently attached to the provider entity. Also review corporate documentation demonstrating registration to operate a business in NC. Information for corporate entities may be verified on the web site for the Secretary of State (refer to key documents section of attachment titled Business Entity Type).

Day Support Services be provided in a facility licensed under 10A NCAC 27G, or licensed as a Developmental Day program approved by the division of Child and Maternal Health, or licensed as a Day Care under GS110 Article 7, or certified as an Adult Day by the NC Division of Aging and Adult Services. Documentation to validate license or certification must be present.

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Review the documentation that demonstrates the provider has been accredited by a designated accreditation agency. Evidence of formal application to a DMH-DD-SAS accepted National Accreditation body (prior to Nov. 1, 2009) or Certificate of National Accreditation (by Nov. 1, 2009 or 1 yr post provider enrollment date)

- Has the provider attained National Accreditation? If so review the actual Accreditation Document
- If not, what is the provider plan to attain National Accreditation? Review for evidence that the provider has selected an Accrediting agency or has evidence of official intent with an Accrediting agency.

2. Staffing Requirements

2. a-j In this section, the reviewer is primarily concerned with the hiring practices of the provider and ensuring that all employees in place are equipped with the education, training and experience to work with the population served in the capacity and at the level of intervention for which they were hired. Staff providing the service of Day Support Services must meet general and licensure/certification requirements to include requirements for paraprofessional in 10A NCAC 27G Sections .0100-.0200. When a licensure/certification requirement conflicts with the requirements for paraprofessional in 10A NCAC 27G Sections .0100- .0200 the strictest requirement must be used.

Review personnel files; supervision plans or other documentation that staff minimum requirements and supervision requirements are met based on licensure or certification requirements of the facility providing Day Supports. Review the job description for paraprofessionals and review the program description and personnel manual to determine the role and responsibilities of such staff and the expectation regarding supervision.

Review the following for each paraprofessional:

- Employment application,
- Resume, and
- Other documentation for evidence of at least a GED or high school diploma. Existing staff must have documentation of either High School diploma/GED or b) they will have 18 months to obtain their GED upon implementation of the waiver. All new staff (hired post implementation) must have proof of High School Diploma or GED upon hire at implementation of the waiver.
- Client Specific Competencies Trainings
- Staff must successfully complete First Aid, CPR and DMH/DD/SAS Core Competencies and required refresher training

Each paraprofessional must have an individualized supervision plan that is carried out by a Qualified Professional. Review supervision plans to ensure that each paraprofessional is receiving supervision and review notes, schedule and other supporting documentation that demonstrate on-going supervision by the Qualified Professional in accordance with 10A NCAC 27G.0204. Review of personnel files should include review of:

- Documentation verifying criminal record check
- Healthcare registry check

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- Driving record must be checked if providing transportation and copy of driver's record.
- Have a valid North Carolina or other valid driver's license and copy license.
- Have an acceptable level of automobile liability insurance (copy of insurance and registration)

3. Service Type/Setting

3.a-b Services are provided in a licensed or certified non-residential facility separate from the home or facility in which the participant resides. The license or certification must be validated through review of the documentation reflecting the license or certification.

On site attendance of participants served is not required. The flexibility of this service allows services to take place in other parts of the community while they originate from this facility providing day supports.

4. Program/Clinical Requirements

The elements in this section pertain to the provider's having an understanding of the Day Support service.

4.a-f Review program description which should reflect Day Support Services as providing assistance with the acquisition, retention or improvement of self-help, socialization, and adaptive skills. The program description should focus on enabling the participant to attain or maintain maximum functional level. This should be coordinated with physical, occupational or speech therapies listed in the Person Centered Plan/Plan of Care.

Day Support services are inclusive of transportation to and from the participant's primary residence, the licensed facility and or the community. Travel time is not billed since it is not actual service time. Review program description as well as billing records to verify provision of transportation. Review transportation schedules with service billing to assure that transportation time is not billed as service time.

Observe program activities to verify that they are consistent with the above. Review the participant's Person Centered Plan/Plan of Care to insure that outcomes related to the participant's self-help, socialization and adaptive skills. Review service notes to verify that the programming is consistent with the above as well as individual needs (as indicated in the Person Centered Plan/Plan of Care).

Documentation Requirements

A grid has been developed to document Day Support services. Documentation must include the date of the service provision, the goals addressed, intervention used, participant progress, duration when required, and initial of the individual providing the service. The initial should correspond to a signature on the signature log section of the grid.

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Review the provider's Policy and Procedure Manual to verify that documentation requirements are consistent with requirements noted above. Review service notes to verify that documentation is consistent with requirements.